

#4

PATENT

Customer No. 22,852

Attorney Docket No. 7451.0006-05

InterTrust Ref. No.: IT-53 (US)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Karl L. Ginter, et al.

Application No.: 10/027,986

Filed: December 21, 2001

For: SYSTEMS AND METHODS FOR  
SECURE TRANSACTION  
MANAGEMENT AND ELECTRONIC  
RIGHTS PROTECTION

Commissioner for Patents  
Washington, DC 20231

Group Art Unit: 2161

Examiner: Not Yet Assigned

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Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached PTO 1449. To the best of our knowledge, this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application. Copies of the listed documents were previously submitted in a prior application, Application No. 09/272,998, filing date March 19, 1999, upon which Applicants rely for the benefits provided in 35 U.S.C. § 120.

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

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This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

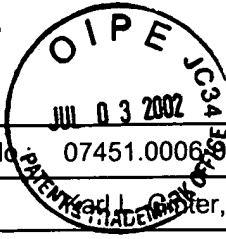
Dated: July 2, 2002

By: 

Karna J. Nisewaner  
Reg. No. 50,665

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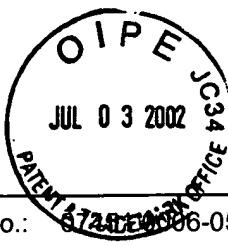
## INFORMATION DISCLOSURE CITATION

|                  |                   |             |                  |
|------------------|-------------------|-------------|------------------|
| Atty. Docket No. | 07451.0006 95000  | Serial No.: | 10/027,986       |
| Applicants:      | Adams et al.      | Examiner:   | Not Yet Assigned |
| Filing Date:     | December 21, 2001 | Group:      | 2161             |

| Examiner Initial* | Document Number | Issue Date | Name             | Class | Sub Class | Filing Date<br>If Appr priat |
|-------------------|-----------------|------------|------------------|-------|-----------|------------------------------|
|                   | 3,573,747       | 04/71      | Adams et al.     |       |           |                              |
|                   | 3,609,697       | 09/71      | Blevins          |       |           |                              |
|                   | 3,796,830       | 03/74      | Smith            |       |           |                              |
|                   | 3,798,359       | 03/74      | Feistel          |       |           |                              |
|                   | 3,798,360       | 03/74      | Feistel          |       |           |                              |
|                   | 3,798,605       | 03/74      | Feistel          |       |           |                              |
|                   | 3,806,882       | 04/74      | Clarke           |       |           |                              |
|                   | 3,829,833       | 08/74      | Freeny           |       |           |                              |
|                   | 3,906,448       | 09/75      | Henriques        |       |           |                              |
|                   | 3,911,397       | 10/75      | Freeny           |       |           |                              |
|                   | 3,924,065       | 12/75      | Freeny           |       |           |                              |
|                   | 3,931,504       | 01/76      | Jacoby           |       |           |                              |
|                   | 3,946,220       | 03/76      | Brobeck et al.   |       |           |                              |
|                   | 3,956,615       | 05/76      | Anderson et al.  |       |           |                              |
|                   | 3,958,081       | 05/76      | Ehram et al.     |       |           |                              |
|                   | 3,970,992       | 07/76      | Boothroyd et al. |       |           |                              |
|                   | 4,048,619       | 09/77      | Forman et al.    |       |           |                              |
|                   | 4,071,911       | 01/78      | Mazur            |       |           |                              |
|                   | 4,112,421       | 09/78      | Freeny           |       |           |                              |
|                   | 4,120,030       | 10/78      | Johnstone        |       |           |                              |
|                   | 4,163,280       | 07/79      | Mori et al.      |       |           |                              |
|                   | 4,168,396       | 09/79      | Best             |       |           |                              |
|                   | 4,196,310       | 04/80      | Forman et al.    |       |           |                              |
|                   | 4,200,913       | 04/80      | Kuhar et al.     |       |           |                              |
|                   | 4,209,787       | 06/80      | Freeny           |       |           |                              |
|                   | 4,217,588       | 08/80      | Freeny           |       |           |                              |
|                   | 4,220,991       | 09/80      | Hamano et al.    |       |           |                              |
|                   | 4,232,193       | 11/80      | Gerard           |       |           |                              |
|                   | 4,232,317       | 11/80      | Freeny           |       |           |                              |

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## INFORMATION DISCLOSURE CITATION

|                                    |                            |
|------------------------------------|----------------------------|
| Atty. Docket No.: 67287-0006-05000 | Serial No.: 10/027,986     |
| Applicants: Karl L. Ginter, et al. | Examiner: Not Yet Assigned |
| Filing Date: December 21, 2001     | Group: 2161                |

| Examiner Initial* | Document Number | Issue Date | Name             | Class | Sub Class | Filing Date<br>If Appr priate |
|-------------------|-----------------|------------|------------------|-------|-----------|-------------------------------|
|                   | 4,236,217       | 11/80      | Kennedy          |       |           |                               |
|                   | 4,253,157       | 02/81      | Kirschner et al. |       |           |                               |
|                   | 4,262,329       | 04/81      | Bright et al.    |       |           |                               |
|                   | 4,265,371       | 05/81      | Desai et al.     |       |           |                               |
|                   | 4,270,182       | 05/81      | Asija            |       |           |                               |
|                   | 4,278,837       | 07/81      | Best             |       |           |                               |
|                   | 4,305,131       | 12/81      | Best             |       |           |                               |
|                   | 4,306,289       | 12/81      | Lumley           |       |           |                               |
|                   | 4,309,569       | 01/82      | Merkle           |       |           |                               |
|                   | 4,319,079       | 03/82      | Best             |       |           |                               |
|                   | 4,323,921       | 04/82      | Guillou          |       |           |                               |
|                   | 4,328,544       | 05/82      | Baldwin et al.   |       |           |                               |
|                   | 4,337,483       | 06/82      | Guillou          |       |           |                               |
|                   | 4,361,877       | 11/82      | Dyer et al.      |       |           |                               |
|                   | 4,375,579       | 03/83      | Davida et al.    |       |           |                               |
|                   | 4,433,207       | 02/84      | Best             |       |           |                               |
|                   | 4,434,464       | 02/84      | Suzuki et al.    |       |           |                               |
|                   | 4,442,486       | 04/84      | Mayer            |       |           |                               |
|                   | 4,446,519       | 05/84      | Thomas           |       |           |                               |
|                   | 4,454,594       | 06/84      | Heffron et al.   |       |           |                               |
|                   | 4,458,315       | 07/84      | Uchenick         |       |           |                               |
|                   | 4,462,076       | 07/84      | Smith            |       |           |                               |
|                   | 4,462,078       | 07/84      | Ross             |       |           |                               |
|                   | 4,465,901       | 08/84      | Best             |       |           |                               |
|                   | 4,471,163       | 09/84      | Donald et al.    |       |           |                               |
|                   | 4,484,217       | 11/84      | Block et al.     |       |           |                               |
|                   | 4,494,156       | 01/85      | Kadison et al.   |       |           |                               |
|                   | 4,513,174       | 04/85      | Herman           |       |           |                               |
|                   | 4,528,588       | 07/85      | Lofberg          |       |           |                               |

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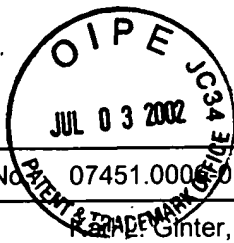
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|                   |                        |             |                  |
|-------------------|------------------------|-------------|------------------|
| Atty. Docket No.: | 87-451,000-05000       | Serial No.: | 10/027,986       |
| Applicants:       | Karl L. Ginter, et al. | Examiner:   | Not Yet Assigned |
| Filing Date:      | December 21, 2001      | Group:      | 2161             |

| Examiner Initial* | Document Number | Issue Date | Name             | Class | Sub Class | Filing Date<br>If Appr priat |
|-------------------|-----------------|------------|------------------|-------|-----------|------------------------------|
|                   | 4,528,643       | 07/85      | Freeny           |       |           |                              |
|                   | 4,553,252       | 11/85      | Egendorf         |       |           |                              |
|                   | 4,558,176       | 12/85      | Arnold et al.    |       |           |                              |
|                   | 4,558,413       | 12/85      | Schmidt et al.   |       |           |                              |
|                   | 4,562,306       | 12/85      | Chou et al.      |       |           |                              |
|                   | 4,562,495       | 12/85      | Bond et al.      |       |           |                              |
|                   | 4,577,289       | 03/86      | Comerford et al. |       |           |                              |
|                   | 4,584,641       | 04/86      | Guglielmino      |       |           |                              |
|                   | 4,588,991       | 05/86      | Atalla           |       |           |                              |
|                   | 4,589,064       | 05/86      | Chiba et al.     |       |           |                              |
|                   | 4,593,353       | 06/86      | Pickholtz        |       |           |                              |
|                   | 4,593,376       | 06/86      | Volk             |       |           |                              |
|                   | 4,595,950       | 06/86      | Lofberg          |       |           |                              |
|                   | 4,597,058       | 06/86      | Izumi et al.     |       |           |                              |
|                   | 4,634,807       | 01/87      | Chorley et al.   |       |           |                              |
|                   | 4,644,493       | 02/87      | Chandra et al.   |       |           |                              |
|                   | 4,646,234       | 02/87      | Tolman et al.    |       |           |                              |
|                   | 4,652,990       | 03/87      | Pailen et al.    |       |           |                              |
|                   | 4,658,093       | 04/87      | Hellman          |       |           |                              |
|                   | 4,670,857       | 06/87      | Rackman          |       |           |                              |
|                   | 4,672,572       | 06/87      | Alsberg          |       |           |                              |
|                   | 4,677,434       | 06/87      | Fascenda         |       |           |                              |
|                   | 4,680,731       | 07/87      | Izumi et al.     |       |           |                              |
|                   | 4,683,553       | 07/87      | Mollier          |       |           |                              |
|                   | 4,685,056       | 08/87      | Barnsdale et al. |       |           |                              |
|                   | 4,688,169       | 08/87      | Joshi            |       |           |                              |
|                   | 4,691,350       | 09/87      | Kleijne et al.   |       |           |                              |
|                   | 4,696,034       | 09/87      | Wiedemer         |       |           |                              |
|                   | 4,701,846       | 10/87      | Ikeda et al.     |       |           |                              |

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## INFORMATION DISCLOSURE CITATION

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| Atty. Docket No: | 07451.000605000        | Serial No.: | 10/027,986       |
| Applicants:      | Karl E. Ginter, et al. | Examiner:   | Not Yet Assigned |
| Filing Date:     | December 21, 2001      | Group:      | 2161             |

| Examiner Initial* | Document Number | Issue Date | Name             | Class | Sub Class | Filing Date If Appropriate |
|-------------------|-----------------|------------|------------------|-------|-----------|----------------------------|
|                   | 4,712,238       | 12/87      | Gilhausen et al. |       |           |                            |
|                   | 4,713,753       | 12/87      | Boebert et al.   |       |           |                            |
|                   | 4,740,890       | 04/88      | William          |       |           |                            |
|                   | 4,747,139       | 05/88      | Taaffe           |       |           |                            |
|                   | 4,757,533       | 07/88      | Allen et al.     |       |           |                            |
|                   | 4,757,534       | 07/88      | Matyas et al.    |       |           |                            |
|                   | 4,768,087       | 08/88      | Taub et al.      |       |           |                            |
|                   | 4,791,565       | 12/88      | Dunham et al.    |       |           |                            |
|                   | 4,796,181       | 01/89      | Wiedemer         |       |           |                            |
|                   | 4,799,156       | 01/89      | Shavit           |       |           |                            |
|                   | 4,807,288       | 02/89      | Ugon et al.      |       |           |                            |
|                   | 4,817,140       | 03/89      | Chandra et al.   |       |           |                            |
|                   | 4,823,264       | 04/89      | Deming           |       |           |                            |
|                   | 4,827,508       | 05/89      | Shear            |       |           |                            |
|                   | 4,858,121       | 08/89      | Barber et al.    |       |           |                            |
|                   | 4,864,494       | 09/89      | Kobus            |       |           |                            |
|                   | 4,868,877       | 09/89      | Fischer          |       |           |                            |
|                   | 4,903,296       | 02/90      | Chandra et al.   |       |           |                            |
|                   | 4,924,378       | 05/90      | Hershey et al.   |       |           |                            |
|                   | 4,930,073       | 05/90      | Cina             |       |           |                            |
|                   | 4,949,187       | 08/90      | Cohen            |       |           |                            |
|                   | 4,977,594       | 12/90      | Shear            |       |           |                            |
|                   | 4,999,806       | 03/91      | Chernow et al.   |       |           |                            |
|                   | 5,001,752       | 03/91      | Fischer          |       |           |                            |
|                   | 5,005,122       | 04/91      | Griffin et al.   |       |           |                            |
|                   | 5,005,200       | 04/91      | Fischer          |       |           |                            |
|                   | 5,010,571       | 04/91      | Katznelson       |       |           |                            |
|                   | 5,023,907       | 06/91      | Johnson et al.   |       |           |                            |
|                   | 5,047,928       | 09/91      | Wiedemer         |       |           |                            |

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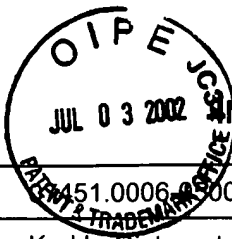
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## INFORMATION DISCLOSURE CITATION

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| Atty. Docket No.: | 451.0006-0000          | Serial No.: | 10/027,986       |
| Applicants:       | Karl L. Ginter, et al. | Examiner:   | Not Yet Assigned |
| Filing Date:      | December 21, 2001      | Group:      | 2161             |

| Examiner Initial* | Document Number | Issue Date | Name             | Class | Sub Class | Filing Dat If Appropriate |
|-------------------|-----------------|------------|------------------|-------|-----------|---------------------------|
|                   | 5,048,085       | 09/91      | Abraham et al.   |       |           |                           |
|                   | 5,050,213       | 09/91      | Shear            |       |           |                           |
|                   | 5,091,966       | 02/92      | Bloomberg et al. |       |           |                           |
|                   | 5,103,392       | 04/92      | Mori             |       |           |                           |
|                   | 5,103,476       | 04/92      | Waite et al.     |       |           |                           |
|                   | 5,111,390       | 05/92      | Ketcham          |       |           |                           |
|                   | 5,119,493       | 06/92      | Janis et al.     |       |           |                           |
|                   | 5,128,525       | 07/92      | Stearns et al.   |       |           |                           |
|                   | 5,136,643       | 08/92      | Fischer          |       |           |                           |
|                   | 5,136,646       | 08/92      | Haber et al.     |       |           |                           |
|                   | 5,136,647       | 08/92      | Haber et al.     |       |           |                           |
|                   | 5,136,716       | 08/92      | Harvey et al.    |       |           |                           |
|                   | 5,146,575       | 09/92      | Nolan            |       |           |                           |
|                   | 5,148,481       | 09/92      | Abraham et al.   |       |           |                           |
|                   | 5,155,680       | 10/92      | Wiedemer         |       |           |                           |
|                   | 5,163,091       | 11/92      | Graziano         |       |           |                           |
|                   | 5,168,147       | 12/92      | Bloomberg        |       |           |                           |
|                   | 5,185,717       | 02/93      | Mori             |       |           |                           |
|                   | 5,187,787       | 02/93      | Skeen et al.     |       |           |                           |
|                   | 5,201,046       | 04/93      | Goldberg et al.  |       |           |                           |
|                   | 5,201,047       | 04/93      | Maki et al.      |       |           |                           |
|                   | 5,208,748       | 05/93      | Flores et al.    |       |           |                           |
|                   | 5,214,702       | 05/93      | Fischer          |       |           |                           |
|                   | 5,216,603       | 06/93      | Flores et al.    |       |           |                           |
|                   | 5,221,833       | 06/93      | Hecht            |       |           |                           |
|                   | 5,222,134       | 06/93      | Waite et al.     |       |           |                           |
|                   | 5,224,160       | 06/93      | Paulini et al.   |       |           |                           |
|                   | 5,224,163       | 06/93      | Gasser et al.    |       |           |                           |
|                   | 5,235,642       | 08/93      | Wobber et al.    |       |           |                           |

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OMB No. 0651-0011

# INFORMATION DISCLOSURE CITATION

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|------------------------------------|----------------------------|
| Atty. Docket No.: 074510006-05000  | Serial No.: 10/027,986     |
| Applicants: Karl L. Ginter, et al. | Examiner: Not Yet Assigned |
| Filing Date: December 21, 2001     | Group: 2161                |

| Examiner Initial* | Document Number | Issue Date | Name                 | Class | Sub Class | Filing Date If Appropriate |
|-------------------|-----------------|------------|----------------------|-------|-----------|----------------------------|
|                   | 5,245,165       | 09/93      | Zhang                |       |           |                            |
|                   | 5,247,575       | 09/93      | Sprague et al.       |       |           |                            |
|                   | 5,257,369       | 10/93      | Skeen et al.         |       |           |                            |
|                   | 5,260,999       | 11/93      | Wyman                |       |           |                            |
|                   | 5,263,158       | 11/93      | Janis                |       |           |                            |
|                   | 5,265,164       | 11/93      | Matyas et al.        |       |           |                            |
|                   | 5,276,735       | 01/94      | Boebert et al.       |       |           |                            |
|                   | 5,280,479       | 01/94      | Mary                 |       |           |                            |
|                   | 5,285,494       | 02/94      | Sprecher et al.      |       |           |                            |
|                   | 5,301,231       | 04/94      | Abraham et al.       |       |           |                            |
|                   | 5,311,591       | 05/94      | Fischer              |       |           |                            |
|                   | 5,319,705       | 06/94      | Halter et al.        |       |           |                            |
|                   | 5,319,785       | 06/94      | Halter et al.        |       |           |                            |
|                   | 5,337,360       | 08/94      | Fischer              |       |           |                            |
|                   | 5,341,429       | 08/94      | Stringer et al.      |       |           |                            |
|                   | 5,343,527       | 08/94      | Moore et al.         |       |           |                            |
|                   | 5,347,579       | 09/94      | Blandford            |       |           |                            |
|                   | 5,351,293       | 09/94      | Michener et al.      |       |           |                            |
|                   | 5,355,474       | 11/94      | Thurasingham et al.  |       |           |                            |
|                   | 5,373,561       | 12/94      | Haber et al.         |       |           |                            |
|                   | 5,388,211       | 02/95      | Hornbuckle           |       |           |                            |
|                   | 5,390,247       | 02/95      | Fischer              |       |           |                            |
|                   | 5,390,330       | 02/95      | Talati               |       |           |                            |
|                   | 5,392,220       | 02/95      | Van den Hamer et al. |       |           |                            |
|                   | 5,392,390       | 02/95      | Crozier              |       |           |                            |
|                   | 5,394,469       | 02/95      | Nagel et al.         |       |           |                            |
|                   | 5,410,598       | 04/95      | Shear                |       |           |                            |
|                   | 5,412,717       | 05/95      | Fischer              |       |           |                            |
|                   | 5,421,006       | 05/95      | Jablon               |       |           |                            |

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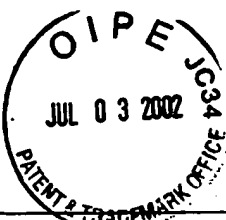
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|-------------------|-----------------|------------|--------------------|-------|-----------|----------------------------|
|                   | 5,422,953       | 06/95      | Fischer            |       |           |                            |
|                   | 5,428,606       | 06/95      | Moskowitz          |       |           |                            |
|                   | 5,432,950       | 07/95      | Sibigroth          |       |           |                            |
|                   | 5,438,508       | 08/95      | Wyman              |       |           |                            |
|                   | 5,442,645       | 08/95      | Ugon               |       |           |                            |
|                   | 5,444,779       | 08/95      | Daniele            |       |           |                            |
|                   | 5,449,895       | 09/95      | Hecht et al.       |       |           |                            |
|                   | 5,449,896       | 09/95      | Hecht et al.       |       |           |                            |
|                   | 5,450,493       | 09/95      | Maher              |       |           |                            |
|                   | 5,453,601       | 09/95      | Rosen              |       |           |                            |
|                   | 5,453,605       | 09/95      | Hecht et al.       |       |           |                            |
|                   | 5,455,407       | 10/95      | Rosen              |       |           |                            |
|                   | 5,455,861       | 10/95      | Faucher et al.     |       |           |                            |
|                   | 5,455,953       | 10/95      | Russell            |       |           |                            |
|                   | 5,457,746       | 10/95      | Dolphin            |       |           |                            |
|                   | 5,463,565       | 10/95      | Cookson et al.     |       |           |                            |
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| Atty. Docket No.: 07451.0006-05000 | Serial No.: 10/027,986     |
| Applicants: Karl L. Ginter, et al. | Examiner: Not Yet Assigned |
| Filing Date: December 21, 2001     | Group: 2161                |

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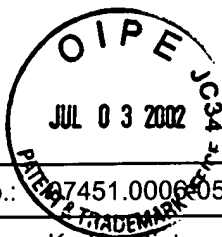
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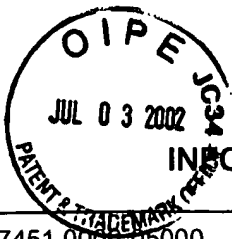
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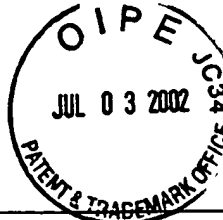
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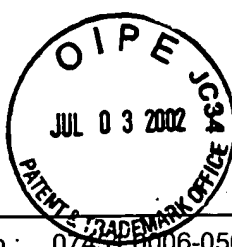
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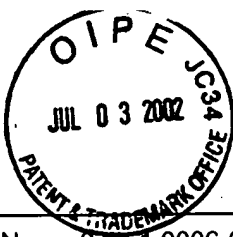


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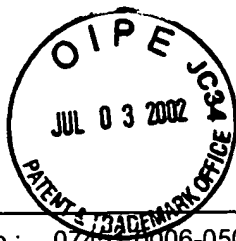
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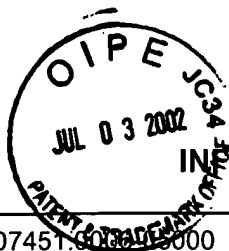
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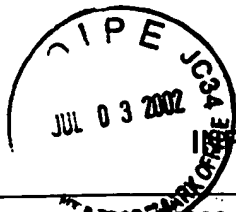
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